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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Central Division	Central	401
Evaluated by:		Date:
Sergeant Scott Goddard		06/11/2009
Assisted by:		Date:
SSA Sandy Padilla		06/11/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:					
⊠ Div	vision Level	☐ Command Level		- O	α)	
☐ Executive Office Level ☐ Voluntary Self-Inspection		S. Gell					
Fo	ollow-up Required: ☐ Yes	Follow-up Inspection	Commande	er's Signature.			Date: 06/11/2009
For applicable policy, refer to: HPM 11.1, Chapter 22			9				
1.		Request used to initiate all are repetitive, regardless of ue?	⊠ Yes	□No	□ N/A	Remarks:	γ ₂
2.	Is a CHP 78 Contract I services exceeding \$4,	Request used for one-time 999.99?	☐ Yes	⊠ No	□ N/A	Remarks:	
3.		ith the requesting command used, followed by "CP" for	☐ Yes	⊠ No	□ N/A	Remarks: Tr assigned by	acking numbers are the OPI
4.	Is the performance of cand documented?	ontract services monitored	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are all copies of correspondintained?	oondence with the vendor	⊠ Yes	☐ No	□ N/A	Remarks:	
6.		documented and maintained ems related to substandard or vendor?	⊠ Yes	☐ No	□ N/A	Remarks:	
7.	Is the final product to be specifically and in as muCHP 78?	delivered described uch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:	
8,,	including the required do for expedite and emerge	f approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, arding the CHP 78 or CHP	☐ Yes	∏ No	⊠ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

MMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

	9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
	11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
	12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
	13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
	14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
	15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
	16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	☐ No	□ N/A	Remarks:
s.	17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
	18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	☐ No	□ N/A	Remarks:
	19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	☐ No	⊠ N/A	Remarks:
	20. Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks:

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

2	Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
2:	2. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
2:	3. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks:
24	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks:
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks:
22	 Alarm and Fire Alarm Monitoring Carnera Maintenance and Repair Carpet Installation Diesel Generator Maintenance and Repair Dishwasher Maintenance and Repair Elevator Maintenance and Repair Fire Extinguisher Service Garage Door Maintenance and Repair Graphic Arts Equipment Maintenance and Repair Heating, Ventilation, and Air Conditioning Service Laundry/Linen Service Office Machine Maintenance and Repair Painting Services (interior of facility) Plumbing Services Scale Maintenance and Repair Steam Cleaning Services (Carpet, not scales) Telephone Services (cellular, satellite, and regular) Television Equipment Maintenance and Repair Uninterruptible Power Supply Maintenance and Repair 				
				}	

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	⊠ No	□ N/A	Remarks: Only if discrepancies are noted.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	⊠ Yes	□No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□ No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
 Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) 	☐ Yes	□No	⊠ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:			
Grapevine I. F.	Central				
Evaluated by:		Date:			
Lt. S. A. Netzer		11/16/2008			
Assisted by:		Date:			
N/A					

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Division Level

Command Level

Division Level

ITTPE	OF INSPECTION		Lead Insp	ector's Signal	ture:		
	ivision Level	⊠ Command Level	SH	1 Mil	4-		
ΠE	xecutive Office Level	☐ Voluntary Self-Inspection					
Follow-up Required:			Command	der's Signatur A	the	<u></u>	Date: 11/27/08
For applicable policy, refer to: HPM 11.1, Chapter 22							
	service contracts which the estimated dollar va		⊠ Yes	□No	□ N/A	Remarks:	
2.	Is a CHP 78 Contract I services exceeding \$4,	Request used for one-time 999.99?	⊠ Yes	□No	□ N/A	Remarks:	
3.	numbering beginning w	ith the requesting command used, followed by "CP" for	⊠ Yes	□No	□ N/A	Remarks:	
4.	and documented?	ontract services monitored	⊠ Yes	□No	□ N/A	Remarks:	
5.	maintained?	ondence with the vendor	⊠ Yes	□ No	□ N/A	Remarks:	
6.	which outline any proble non-performance of the		⊠ Yes	□No	□ N/A	Remarks:	
7.	CHP 78?	ch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:	
8.	including the required do for expedite and emerge	approval/signature obtained, cumentation and approvals ncy contracts per HPM 11.1, rding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	□Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	⊠ Yes	□ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□ No	□ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks:
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□No	□ N/A	Remarks:
 (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair 				

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	⊠ Yes	□No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□ No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	⊠ Yes	□No	□ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	⊠ Yes	□ No	□ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4 (9))	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Sonora	Central Division	002
Evaluated by:		Date:
Jeanie Keaster		12/19/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspec	tor's Signatur	e:	
☐ Division Level ☐ Comma	and Level	7	2	1	
☐ Executive Office Level ☐ Volunta	ary Self-Inspection	de	epie)	Suste	<u> </u>
Follow-up Required: Follo	ow-up Inspection	Commande	r's Signature:	(1)	Date: 12/22/08
For applicable policy, refer to: HPM 11	.1, Chapter 22			/	
Is a CHP 78 Contract Request used service contracts which are repetitive the estimated dollar value?	d to initiate all ve, regardless of	☐ Yes	□.No	⊠ N/A	Remarks: Many of the following contracts are handled by Pete Conejo in the Facilities Section.
 Is a CHP 78 Contract Request use services exceeding \$4,999.99? 	ed for one-time	☐ Yes	□ No	⊠ N/A	Remarks:
Is the Office of Primary Interest (Of numbering beginning with the requesthree-digit location code used, follo contract payable listed on the CHP	esting command wed by " <u>CP" for</u>	☐ Yes	□No	⊠ N/A	Remarks:
Is the performance of contract serve and documented?	ices monitored	⊠ Yes	□No	□ N/A	Remarks:
5. Are all copies of correspondence w maintained?	vith the vendor	☐ Yes	□No	⊠ N/A	Remarks:
6. Are letters for contracts documente which outline any problems related non-performance of the vendor?		☐ Yes	□ No	⊠ N/A	Remarks:
 Is the final product to be delivered a specifically and in as much detail a CHP 78? 		⊠ Yes	☐ No	□ N/A	Remarks:
8. Are all required levels of approval/s including the required documentation for expedite and emergency contration Chapter 22, before forwarding the 78A?	on and approvals acts per HPM 11.1,	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	⊠ N/A	Remarks:
10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□ No	□ N/A	Remarks:
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
18	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks:
20	Are contract amendment request dollar amounts	□Yes	□ No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 	⊠ Yes	□ No	□ N/A	Remarks:
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□ No	⊠ N/A	Remarks:
29.	Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	□ No	⊠ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: BUTTONWILLOW (426)	Division: CENTRAL	Number:		
Evaluated by: MARIA PAGANO,	Date: 11-19-08			
Assisted by: LORIE BERGER	2 10 201 3	Date: 11-19-08		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Ins	Lead Inspector's Signature:					
-	sion Level	○ Command Level		I Am Dn					
☐ Exec	cutive Office Level	☐ Voluntary Self-Inspection							
	ow-up Required: Yes 🛛 No	Follow-up Inspection	Commar	Commander's Signature: Date:					
For app	licable policy, refer to	: HPM 11.1, Chapter 22							
		equest used to initiate all are repetitive, regardless of e?	⊠ Yes	□No	□ N/A	Remarks:	585		
	ls a CHP 78 Contract R ervices exceeding \$4,9	equest used for one-time 99.99?	⊠ Yes	□No	□ N/A	Remarks:			
n tł		h the requesting command used, followed by " <u>CP" for</u>	⊠ Yes	□No	□ N/A	Remarks:			
	the performance of connd documented?	tract services monitored	⊠ Yes	□No	□ N/A	Remarks:			
	re all copies of correspo aintained?	ndence with the vendor	⊠ Yes	□No	□ N/A	Remarks:			
wh		ocumented and maintained ns related to substandard or endor?	⊠ Yes	□ No	□ N/A	Remarks:			
sp	the final product to be decifically and in as muc HP 78?	elivered described n detail as possible in the	⊠ Yes	☐ No	□ N/A	Remarks:			
inc for	luding the required doc expedite and emergend apter 22, before forward	pproval/signature obtained, umentation and approvals by contracts per HPM 11.1, ding the CHP 78 or CHP	⊠ Yes	□No	□ N/A	Remarks:			

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□No	□ N/Ą	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	∑ Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts		571.		Remarks:
increased more than 30%?	☐ Yes ☐	⊠ No	□ N/A	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□ No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□No	□ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint</u> <u>checks and driver license checks</u> conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks: CONDUCTED BY HEADQUARTERS
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				×
limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	⊠ N/A	Remarks: CONDUCTED BY HEADQUARTERS

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks: INVOICE RECEIVED AT THE TIME THE SERVICES WHERE RENDERED
31. Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	Yes	⊠ No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	☐ No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks: COMPLETED BY HEADQUARTERS
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I,	Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Fort Tejon	Central	430
Evaluated by: C. Whitty, 122	28	Date: 11/12/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:					
	☐ Di	vision Level	⊠ Command Level		1 1 12			
	☐ E×	ecutive Office Level	☐ Voluntary Self-Inspection	CF	CA while			
	F	ollow-up Required: ☐ Yes	Follow-up Inspection	Commandar's Signature: Date: 11-13-68				
	For a	pplicable policy, refer to	o: HPM 11.1, Chapter 22					
	-1.		equest used to initiate all are repetitive, regardless of ue?	⊠ Yes	☐ No	□ N/A	Remarks:	
	2.	Is a CHP 78 Contract F services exceeding \$4,	Request used for one-time 999.99?	⊠ Yes	□ No	□ N/A	Remarks:	
	3.		th the requesting command used, followed by "CP" for	⊠ Yes	□No	□ N/A	Remarks:	
	4.	Is the performance of co and documented?	ontract services monitored	⊠ Yes	☐ No	□ N/A	Remarks: Landscape contract is under review for poor service.	
	5.	Are all copies of corresp maintained?	ondence with the vendor	⊠ Yes	☐ No	□ N/A	Remarks:	
	6.		documented and maintained ms related to substandard or vendor?	⊠ Yes	□No	□ N/A	Remarks: Parking lot repairs and paint repairs were documented.	
	7.	Is the final product to be specifically and in as mu CHP 78?	delivered described ch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:	
		including the required do for expedite and emerge	approval/signature obtained, cumentation and approvals ncy contracts per HPM 11.1, arding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	⊠ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	☐Yes	□No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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	21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
	22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
	23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
	24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
	25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint</u> <u>checks and driver license checks</u> conducted for all of the following types of agreements:	☐ Yes	□No	⊠ N/A	Remarks:
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
	26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□No	⊠ N/A	Remarks:
	(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair				
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	☐ No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Hanford Area	Division: Central Division	Number:
Evaluated by: Doug Puder, ID	10045	Date: 11/24/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level	\bigcirc
☐ Executive Office Level ☐ Voluntary Self-Inspection	on Chart full, 1.
Follow-up Required: Follow-up Inspection Yes No	Commander's Signature Date: 11/24/2008
For applicable policy, refer to: HPM 11.1, Chapter 22	
 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless o the estimated dollar value? 	f Yes No NA Remarks: No CHP 78 forms could be located. Facilities Section has initiated and renewed soon to expire contracts involving our facility.
 Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? 	Yes No No Remarks: No CHP 78 forms could be located.
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 	
4. Is the performance of contract services monitored and documented?	Yes No N/A Remarks: Contract services have previously been monitored, but have not been documented.
5. Are all copies of correspondence with the vendor maintained?	Yes No N/A Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard on non-performance of the vendor?	— Pomprike: None could be located
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	Yes No No Remarks: No CHP 78 forms could be located.
8. Are all required levels of approval/signature obtained including the required documentation and approvals for expedite and emergency contracts per HPM 11.1 Chapter 22, before forwarding the CHP 78 or CHP 78A?	Yes No No N/A Remarks: No CHP 78 of CHP 78A

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	Yes	□No	□ N/A	Remarks: Unable to determine.
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	Yes	□No	□ N/A	Remarks: A uniform review of contract services has not been routinely performed prior to this inspection. Consequently, I am unable to definitively respond to this question.
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	X Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	Yes	⊠ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	M No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	X Yes	☐ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	⊠ N/A	Remarks: No CHP 78 forms could be located.
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	M N/A	Remarks: No emergency contracts could be located.
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	Yes	⊠ No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	☐ No	⊠ N/A	Remarks: No documented problems could be located.
20. Are contract amendment request dollar amounts increased more than 30%?	☐Yes	⊠ No	□ N/A	Remarks: Only one (1) increase found to increase janitor's pay

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	X Yes	□No	□ N/A	Remarks: Contract was amended to increase the janitor's pay from 7/01/2006 to 6/30/2008.
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	Yes	□ No	X N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	X Yes	□ No	□ N/A	Remarks: Checks were run on the employees of our current janitorial service provider.
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	N/A N/A	Remarks: None of these types of contractors are scheduled to be "onsite" at the Hanford Area office for more than 30 days.

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	MNO	□ N/A	Remarks: Have not previously forwarded this information to Contract Services Unit (CSU),
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□ No	N/A N/A	Remarks: No one has any recollection of this occurring recently.
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	X Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	No No	□ N/A	Remarks: HPM 11.1, Chapter 22, Section 16 recommends this practice but does not require it.
31. Is a computer file prepared for all contracts administered?	☐ Yes	₩ No	□ N/A	Remarks: HPM 11.1, Chapter 22, Section 16 recommends this practice but does not require it.
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks: HPM 11.1, Chapter 22, Section 16 recommends this practice but does not require it.
33. Is the notification to the contractor documented for the start date for services to begin?	¥ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	Yes	⊠ No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	₩ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	☐ No	₽ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	X Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	☐ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	MNo	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	Ī
Hanford Area	Central Division	3 - Contracts	
Inspected by:		Date:	Ī
Doug Puder, ID	10045	11/24/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☑ Corrective Action Plan Included	
Division Level 📈 Commar	nd Level	Appeal Included	
Executive Office Level		☐ Attachments Included	
Follow-up Required:	Forward to: CENTRAL DIVISIO	Commander's Signature:	Date:
Yes No	Due Date:	Dan July LT	11/24/2008
Chapter Inspection:	Note that the state of the stat		
Inspector's Comments Reg	arding Innovative Practice	es:	200.24的200克斯克斯克斯克里

None identified.

Command Suggestions for Statewide Improvement:

The forms provided for this evaluation, as well as the instructions for completing these forms, are not adequate to ensure a uniform review of this subject has been conducted. As currently written, the instructions for completing this form allow for responses which are far too subjective to provide a meaningful evaluation of all commands.

The instructions for each item to be reviewed should be sufficiently expanded so as to make them very specific, comprehensive and easy for the Inspector to understand. The instructions should list exactly which documents or processes need to be examined, they should list specifically what the Inspector should be looking for, and they should provide solid examples of what is appropriate and what isn't appropriate. The instructions should be written in sufficient detail so as to make the inspection forms "stand alone" documents. References to other publications (i.e., SAM manual, Government Code, Department policy, etc.,) may be provided to answer obscure questions that may arise. However, an Inspector should definitely not be required to reference these types of sources on a routine basis in order to complete the inspection forms.

Lastly, Items 30 - 32 ask questions regarding practices which are **recommended** in HPM 11.1, Chapter 22, Section 16. Doe the failure to comply with **recommended** practices constitute an exception? This is confusing.

Inspector's Findings:			
inopedior or manigo.			

See Attachment (Page 4).

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Hanford Area	Division: Central Division	Chapter: 3 - Contracts
Inspected by:	· · · · · · · · · · · · · · · · · · ·	Date:
Doug Puder, ID	10045	11/24/2008

	Commander's Response:
- 2	

Concur with Inspector's findings.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

Sergeant Frank Smith, ID 10376, will be responsible for organizing all of our files related to contracts. Each contract will have its' own individual file. Each of these files will include a copy of the current contract, all invoices associated with that particular contract, a log upon which all contacts with the contractor can be documented, copies of all correspondence with the contractor, and copies of CHP 78S forms for each employee who manages any aspect of that particular contract.

Having all contract files organized in the aforementioned manner will allow for a relatively quick review of the terms of each contract. This will allow our contract manager to verify all contracted services are being provided in the proper manner. The organization of all contract files within the Hanford Area will be accomplished by February 1, 2009. This will be verified by a review of all contract files by the Area Commander.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Hanford Area	Central Division	3 – Contracts
Inspected by:		Date:
Doug Puder, ID	10045	11/24/2008

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Appeal Process: (Appeals shall be filed within			7)
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spector's Signature:	V	Date:	
eng fulle, LT.		11/24/2008	
nding Commander's Signature (for appeal):		Date:	

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

EXCEPTIONS DOCUMENT Page 4

Inspector's Findings:

Hanford Area's contract files were not organized in a manner conducive to performing a quick and systematic review of each contract. The following general discrepancies were noted during this inspection:

- Copies of all contracts were kept in a single file by Sergeant Smith. This file contained copies of a number of expired contracts. Additionally, the file did not contain copies of all current contracts.
- Copies of invoices associated with the aforementioned contracts were filed in a separate location by Ms. Cynthia Gonzales, ID A05589, Hanford Area's Office Manager.

<u>Note</u>: The arrangement described above made it virtually impossible for any individual to accurately monitor the quality and quantity of services being provided in accordance with the terms of any individual contract.

The aforementioned discrepancies were broken down more specifically as follows:

- Failure to separate each contract into its' own file.
- Failure to file invoices with the appropriate contract.
- Failure to include a form in each contract file upon which to document contacts with the contractor.
- There was no centralized listing of all contracts which would allow anyone to quickly reference the contract information and verify the beginning and expiration dates of each contract.
- There was no way to determine if problems with any particular contract were documented.
 Additionally, any steps taken by the Hanford Area to correct problems with the contractor were not documented.
- Failure to include a completed CHP 78S form in each individual contract file.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:				
Madera	Central	450				
Evaluated by:		Date:				
Lieutenant D	. Paris	12/22/2008				
Assisted by:		Date:				

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:					
□ Di	vision Level	⊠ Command Level						
☐ Ex	ecutive Office Level	☐ Voluntary Self-Inspection						
Follow-up Required:				Commander's Signature:				
For applicable policy, refer to: HPM 11.1, Chapter 22								
1.		lequest used to initiate all are repetitive, regardless of ue?	⊠ Yes	□No	□ N/A	Remarks:		
2.	Is a CHP 78 Contract F services exceeding \$4,	Request used for one-time 999.99?	Yes	□ No	⊠ N/A	Remarks:		
3.	numbering beginning w	ith the requesting command used, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks:		
4.	Is the performance of coand documented?	ontract services monitored	⊠Yes	☐ No	□ N/A	Remarks:		
5.	Are all copies of correspondintained?	pondence with the vendor	⊠ Yes	□No	□ N/A	Remarks:		
6.		documented and maintained ems related to substandard or vendor?	⊠ Yes	□No	□ N/A	Remarks:		
7.	Is the final product to be specifically and in as mu CHP 78?	delivered described uch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:		
8.	including the required do for expedite and emerge	f approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, arding the CHP 78 or CHP	☐ Yes	□No	⊠ N/A	Remarks:	*	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	⊠ N/A	Remarks:
10.	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	☐ No	⊠ N/A	Remarks: OPI
	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□ No	□ N/A	Remarks:
\$ 6 1	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
C	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of nterest Statement, Employee, form?	☐Yes	□ No	⊠ N/A	Remarks:
p	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
	Are contract amendment request dollar amounts ncreased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	f Yes	☐ No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Requestinitiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 total cost?	│	□No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$50 per day limit have pre-approval from Assistant Commissioner, Staff?	□ Yes	□ No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	☐ No	⊠ N/A	Remarks:
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, i the contractor and/or specifically assigned personne are scheduled to be on-site for more than 30 days:		□ No	□ N/A	Remarks:
 Alarm and Fire Alarm Monitoring Camera Maintenance and Repair Carpet Installation Diesel Generator Maintenance and Repair Dishwasher Maintenance and Repair Elevator Maintenance and Repair Fire Extinguisher Service Garage Door Maintenance and Repair Graphic Arts Equipment Maintenance and Repair Heating, Ventilation, and Air Conditioning Service Laundry/Linen Service Office Machine Maintenance and Repair Painting Services (interior of facility) Plumbing Services Scale Maintenance and Repair Steam Cleaning Services (Carpet, not scales) Telephone Services (cellular, satellite, and regular) Television Equipment Maintenance and Repair Uninterruptible Power Supply Maintenance and Repair 				

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	7. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□No	⊠ N/A	Remarks:
28	B. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□No	⊠ N/A	Remarks:
29	. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
30	. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	⊠ N/A	Remarks:
31	Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	⊠ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	⊠ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	□ No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:			
Mariposa	Central	455-08-002			
Evaluated by:	Date:				
Sgt. Edward	12/24/2008				
Assisted by:	Date:				
OSS-1 Carrie	12/24/2008				

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION						
Division Level	□ Command Level	Lead Ins	pector's Signat			
		1	Cle	enu	e_,#	11261
Executive Office Lev						3
Follow-up Requi	red:	Comman	devs Signature). 		Date: 12- 29-08
For applicable policy,	refer to: HPM 11.1, Chapter 22					
service contract the estimated d		Yes	□ No	□ N/A	Remarks:	
2. Is a CHP 78 Co services exceed	intract Request used for one-time ing \$4,999.99?	☐ Yes	⊠ No	□ N/A	Remarks:	
numbering begir three-digit locati contract payable	Primary Interest (OPI) tracking nning with the requesting command on code used, followed by "CP" for listed on the CHP 78?	⊠ Yes	□ No	□ N/A	Remarks:	
Is the performan and documented	ce of contract services monitored ??	⊠ Yes	□ No	□ N/A	Remarks:	,
Are all copies of maintained?	correspondence with the vendor	⊠ Yes	□No	□ N/A	Remarks:	
which outline any non-performance			□No	□ N/A	Remarks:	
specifically and in CHP 78?	ct to be delivered described as much detail as possible in the	⊠ Yes	□ No	□ N/A	Remarks:	
including the requ for expedite and o	evels of approval/signature obtained vired documentation and approvals emergency contracts per HPM 11.1 re forwarding the CHP 78 or CHP	│ ⊠ Yes	□ No	□ N/A	Remarks;	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	□ No	⊠ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	- □ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	□ Vaa	M N-	☐ A1/A	Remarks:
more doed more than 50 76?	☐ Yes	⊠ No	□ N/A	

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint</u> <u>checks and driver license checks</u> conducted for all of the following types of agreements:	☐ Yes	□No	⊠ N/A	Remarks:
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□No	□ N/A	Remarks:
(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair		5		

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

*			AND LOCAL DESCRIPTION OF THE PARTY OF THE PA		
	27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□No	□ N/A	Remarks:
	28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
	29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
	30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
	31. Is a computer file prepared for all contracts administered?	⊠ Yes	□ No	□ N/A	Remarks:
	32. Is a spreadsheet prepared listing all expenditures?	Yes	⊠ No	□ N/A	Remarks:
	33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	☐ No	□ N/A	Remarks:
	34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
	35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	Yes	□ No	⊠ N/A	Remarks:
	36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
	37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
	38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks:
	39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Merced (460)	Division: Central (401)	Number
Evaluated by: G. Lamerson		Date: 12/17/2008
Assisted by: Rafaela Gonza	les, OSS I	Date: 12/17/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	F INSPECTION		Lead Inspe	ector's Signati	ire:	
☐ Div	rision Level	□ Command Level	6		.//	
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	1. Ht.	troit	4,0	J.
Fo	ollow-up Required: ☐Yes ⊠ No	☐ Follow-up Inspection	Command	er's Signature		FOR Date 12/18/08
For a	oplicable policy, refer t	o: HPM 11.1, Chapter 22				7-7
1.		Request used to initiate all n are repetitive, regardless of lue?	⊠ Yes	□ No	□ N/A	Remarks: Only when a new contract is needed.
2.	Is a CHP 78 Contract services exceeding \$4	Request used for one-time 999,997	⊠ Yes	□ No	□ N/A	Remarks;
3.	numbering beginning v	Interest (OPI) tracking with the requesting command e used, followed by "CP" for on the CHP 78?	⊠ Yes	□ No	□ N/A	Remarks: All of our contracts are existing and a CHP 78 was used on initial request
4.	Is the performance of cand documented?	contract services monitored	⊠ Yes	□ No	□ N/A	Remarks: E. file and placed in folder
5.	Are all copies of corres maintained?	pondence with the vendor	⊠ Yes	□ No	□ N/A	Remarks:
6.		documented and maintained ems related to substandard or evendor?	⊠ Yes	□ No	□ N/A	Remarks:
7.,	Is the final product to b specifically and in as m CHP 78?	e delivered described uch detail as possible in the	⊠ Yes	□ No	□ N/A	Remarks: Only when a new contract is needed
8.	including the required of for expedite and emerg	of approval/signature obtained, locumentation and approvals ency contracts per HPM 11.1, varding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks: Facilities Section

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□No	□ N/A	Remarks: Assuming this is run up through the chain of command once Facilities Section finishes coordinating the contract
10	. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	⊠ No	□ N/A	Remarks: Assumed CSU did this, is there a need to start using a contract, Delegation Spreadsheet?
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks: Via Central Division for approval.
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□ No	□ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□ No	□ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	⊠ No	□ N/A	Remarks: Will be doing them for X numbers and procurement of goods.
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks: E-File, only one so far. Aramark, problems resolved
20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	⊠ No	□ N/A	Remarks: No amendments made at command level

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21	. Is the length of the contract amendment request more than one year?	Yes	⊠ No	□ N/A	Remarks: No amendments made at command level
22	Are amendments requested before the expiration of the original contract?	☐ Yes	⊠ No	□ N/A	Remarks: No amendments made at command level
23	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair	⊠ Yes	□No	□ N/A	Remarks:
	 (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
20	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	⊠ No	□ N/A	Remarks:
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□ No	□ N/A	Remarks: If a problem was discovered, CSU would be contacted.
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□ No	□ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
	is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks: Via contracts and Facilities Section
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□ No	□ N/A	Remarks: When needed
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I. Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks: Comparative costs analysis CHP 315
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 1 of 2

Command Merced	Division: Central	Chapter:
Inspected by Sgt. G. Lame	erson	Date 12/17/2008

. ago : 0: 2			
number of the inspection in the Chapt shall be routed to and its due date. T	ler Inspecti his docum	on number. Under "Forward to:" enter the ent shall be utilized to document innovation	or fill in the blanks as indicated. Enter the chapte e next level of command where the document re practices, suggestions for statewide ay be used if additional space is required.
TYPE OF INSPECTION Division Level Comman			Corrective Action Plan Included
☐ Executive Office Level		Six hours	Attachments Included
Follow-up Required:	Forwa	rd to:	
☐ Yes No Due □		ate: 12/18/2008	
Chapter Inspection: Comma	and Prod	curements, X-numbers, Contra	cts, and Purchases
Inspector's Comments Reg Inspection completed by Sgt		nnovative Practices: son indicated no follow-up need	ded.
Command Suggestions for Ensure all personnel receive Procurements.		le Improvement: for all new applicable procedu	res concerning Command
Inspector's Findings:			
Commander's Response:	∄ Concu	r or 🗌 Do Not Concur (Do Not C	Concur shall document basis for response)
Inspector's Comments: Shall etc.)	address	non concurrence by commander (e.	g., findings revised, findings unchanged,

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2 of 2

Command: Merced	Central	Chapter 3
Inspected by: Sgt. G. Lame	erson	Date: 12/17/2008

Required Action		
Corrective Action Plan/Timeline		

Employee would like to discuss this report with	COMMANDER'S SIGNATURE FOR	DATE
the reviewer. (See HPM 9.1, Chapter 8 for appeal procedure—	V. Mt troubl. LT CAPT. S.A. BAGUA	6/3/09
6	INSPECTOR'S SIGNATORE FOR	DATE
<i>-</i>	IN. trust, LT SGI. CAMERSON	6/9/09
Reviewer discussed this report with	REVIEWER'S SIGNATURE	DATE
employee		. 6/10
☐ Concur ☐ Do not concur		6/7/07

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Los Banos	Division: Central	Number:
Evaluated by: Sergeant Kevii	Date: 4/22/2009	
Assisted by: Officer Tom M	Date: 4/22/2009	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Insp	ector's Signa	lure:			
☐ Division Level		⊠ Command Level						
☐ Executive Office	Level	Voluntary Self-Inspection			*			
Follow-up Re	quired: No	Follow-up Inspection	Command	der's Signature	e: Ac	,	Date: 1/2.8/	159
For applicable pol	icy, refer to:	HPM 11.1, Chapter 22						
service con		quest used to initiate all re repetitive, regardless of ?	☐ Yes	□ No	⊠ N/A	Remarks:		
	8 Contract Re seeding \$4,99	quest used for one-time 9,99?	Yes	□No	⊠ N/A	Remarks:		
numbering b three-digit lo	eginning with	terest (OPI) tracking the requesting command sed, followed by " <u>CP" for</u> the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks:		
4. Is the performand docume		ract services monitored	⊠ Yes	□No	□ N/A	Remarks:		
5. Are all copie maintained?	s of correspor	dence with the vendor	⊠ Yes	□No	□ N/A	Remarks:		5,417-79,100000
	any problem	cumented and maintained s related to substandard or ndor?	⊠ Yes	□ No	□ N/A	Remarks:		A 20 14 470 100 100 100 100 100 100 100 100 100 1
		elivered described detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:		
including the for expedite a	required docu and emergence	pproval/signature obtained, mentation and approvals y contracts per HPM 11.1, ing the CHP 78 or CHP	⊠ Yes	□No	□ N/A	Remarks:	100	

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	⊠ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□ No	⊠ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□ No	□N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks
20. Are contract amendment request dollar amounts increased more than 30%?	□Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	14Vinner retrieve and and			
21. Is the length of the contract amendment request more than one year?	Yes	□ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	Yes	□ No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	Yes	□No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□No	□ N/A	Remarks:
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□No	⊠ N/A	Remarks:
(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair				
	4			

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

			_,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	
27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□ No	⊠ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□ No	⊠ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠Yes	☐ No	□ N/A	Remarks
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks.
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	□ No	⊠ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:					
Chowchilla River I.F	Central	464			
Evaluated by: Sergeant P.E.	Speers # 9724	Date: 12/30/2008			
Assisted by:		Date:			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	F INSPECTION		Lead Inspe	ctor's Signatu	ire:		
☐ Div	rision Level	⊠ Command Level					32
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection		PZ er's Signature ERG	see	•	
Fo	ollow-up Required:	☐ Follow-up Inspection	Commande	er's Signature			Date:
] Yes ⊠ No		110141-0	D.R.E.	Buc	ne	12/30/2008
For a	oplicable policy, refer t	o: HPM 11.1, Chapter 22		,			
1.		Request used to initiate all n are repetitive, regardless of lue?	⊠ Yes	□ No	□ N/A	Remarks:	
2.	Is a CHP 78 Contract services exceeding \$4,	Request used for one-time 999.99?	☐ Yes	☐ No	⊠ N/A	Remarks:	
3.	numbering beginning w	vith the requesting command e used, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks:	
4.	Is the performance of cand documented?	ontract services monitored	⊠ Yes	□ No	□ N/A	Remarks:	
5.	Are all copies of corres maintained?	pondence with the vendor	⊠ Yes	□ No	□ N/A	Remarks:	
6.		documented and maintained ems related to substandard or vendor?	⊠ Yes	□ No	□ N/A	Remarks:	
7.		e delivered described uch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:	
8.	including the required of for expedite and emerg	of approval/signature obtained, locumentation and approvals ency contracts per HPM 11.1, varding the CHP 78 or CHP	☐ Yes	□No	⊠ N/A	Remarks:	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	☐ No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	☐ No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

21	. Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22	. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks:
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26.	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□ No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□ No	⊠ N/A	Remarks:
Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	⊠ No	□ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	⊠ No	□ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Modesto (465)	Division: Central (401)	Number:
Evaluated by: Captain L. Dunc	Date: 12.15.08	
Assisted by: OSS1 H. Koelm	Date: 12.15.08	

discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level ○ Command Level 12.14.08 Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature Date: Follow-up Required: Follow-up Inspection No. Yes 12.16.08 For applicable policy, refer to: HPM 11.1, Chapter 22 Is a CHP 78 Contract Request used to initiate all Remarks: X Yes No N/A service contracts which are repetitive, regardless of the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: Yes ⊠ No □ N/A services exceeding \$4,999.99? 3. Is the Office of Primary Interest (OPI) tracking Remarks: Tracking numbers are X No □ N/A numbering beginning with the requesting command Yes assigned by the OPI and this three-digit location code used, followed by "CP" for numbering convention is not followed. contract payable listed on the CHP 78? Is the performance of contract services monitored Remarks: □ N/A X Yes □ No and documented? 5. Are all copies of correspondence with the vendor Remarks: X Yes No □ N/A maintained? Are letters for contracts documented and maintained Remarks: □ N/A which outline any problems related to substandard or Yes No non-performance of the vendor? 7. Is the final product to be delivered described Remarks: specifically and in as much detail as possible in the X Yes No N/A CHP 78? Are all required levels of approval/signature obtained, Remarks: ⊠ N/A including the required documentation and approvals Yes No for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□ No	□ N/A	Remarks:
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□ No	□ N/A	Remarks:
	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	⊠ N/A	Remarks:
20.	Are contract amendment request dollar amounts	Yes	□No	⊠ N/A	Remarks:
	increased more than 30%?	162	IAO	KA LAIW	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	⊠ Yes	□No	□ N/A	Remarks: Janitorial services.
limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	⊠ No	□ N/A	Remarks: Only if there is a discrepancy.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□ No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	n ⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	⊠ Yes	□No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	∑ Yes	□No	□ N/A	Remarks;
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
 Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) 	☐ Yes	□No	⊠ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 4

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:	
Evaluated by:		Date:	
Assisted by:	7	Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		ector's Signatu			
☐ Division Level ☐ Command Level	Leah Shire	s, Clerical Su	pervisor		
☐ Executive Office Level ☐ Voluntary Self-Inspection					12
Follow-up Required:	Commande Lieutenant	er's Signature James Swear	: ringen, #120	68	Date: 04/22/2009
For applicable policy, refer to: HPM 11.1, Chapter 22	į				
 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 	☐ Yes	☐ No	⊠ N/A	Remarks:	
 Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? 	☐ Yes	⊠ No	□ N/A	Remarks:	
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 	Yes	⊠ No	□ N/A	Remarks:	
4. Is the performance of contract services monitored and documented?	⊠ Yes	□No	□ N/A	Remarks:	
5. Are all copies of correspondence with the vendor maintained?	⊠ Yes	□No	□ N/A	Remarks:	
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	⊠ Yes	☐ No	□ N/A	Remarks:	
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	⊠ Yes	□ No	□ N/A	Remarks:	
8. Are all required levels of approval/signature obtained including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	⊠ Yes	□No	□ N/A	Remarks:	

2 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
	10.	Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□No	⊠ N/A	Remarks:
	11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
	12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
	13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□No	⊠ N/A	Remarks:
	14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
ter hi net	15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□No	⊠ N/A	Remarks:
	16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	☐ No	□ N/A	Remarks:
	17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□ No	□ N/A	Remarks
	18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
		Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
	20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	□No	⊠ N/A	Remarks:
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□No	⊠ N/A	Remarks:

4 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	☐ No	⊠ N/A	Remarks:
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	⊠ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	⊠ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠.N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No i	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	☐ No	⊠ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Coalinga Area	Central Division	495
Evaluated by:	Date:	
Robert Brunell, II	12/10/2008	
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Lead Inspector's Signature:

TYPE OF	INSPECTION		Lead Insp	ector's Signa	ture:			
☐ Divis	sion Level	☑ Command Level			5	5.		
☐ Exec	cutive Office Level	☐ Voluntary Self-Inspection	R	PO E	3mf	2	*	
	ow-up Required: Yes	Follow-up Inspection		ler's Signature	a:		Date: 12/2	2/08
For app	olicable policy, refer to	o: HPM 11.1, Chapter 22						
		lequest used to initiate all are repetitive, regardless of ue?	⊠ Yes	□ No	□ N/A	Remarks:		\$E
	Is a CHP 78 Contract F services exceeding \$4,9	Request used for one-time 999.99?	☐ Yes	□ No	⊠ N/A	Remarks:		
r t	s the Office of Primary numbering beginning wi hree-digit location code contract payable listed c	ith the requesting command used, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks:		2
	s the performance of co and documented?	ontract services monitored	⊠ Yes	□ No	□ N/A	Remarks:		
	Are all copies of corresp naintained?	ondence with the vendor	⊠ Yes	□ No	□ N/A	Remarks:		
W		documented and maintained ms related to substandard or vendor?	⊠ Yes	□ No	□ N/A	Remarks:		
S	s the final product to be pecifically and in as mu CHP 78?	delivered described ch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:		
in fo C	ncluding the required do or expedite and emerge	approval/signature obtained, ocumentation and approvals ncy contracts per HPM 11.1, arding the CHP 78 or CHP	☐ Yes	□ No	⊠ N/A	Remarks:		

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Are requests for contract services less than six Remarks: □ N/A ☐ Yes □ No months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? 10. Is all work completed and accepted by the Remarks: □ N/A ☐ No Department before expiration of contract agreement? ✓ Yes 11. Are contract services performed according to the Remarks: □ N/A ⊠ Yes □ No quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? 12. Are invoices for payment reviewed and approved to Remarks: HVAC vendor, Johnson ✓ Yes □ No ☐ N/A substantiate expenditures for work performed and to Controls, billing inconsistent with prevent penalties being assessed? contract. 13. Are contract expenditures monitored to ensure there Remarks: □ N/A· ⊠ Yes ☐ No are <u>sufficient funds</u> to pay for all services rendered as required by contract? 14. Does the requestor verify the contractor has fulfilled Remarks: X Yes □ No □ N/A all requirements of the contract before approving the final invoice? 15. Is the final invoice identified and approved, as Remarks: appropriate and forwarded to Fiscal Management X Yes ☐ No □ N/A Section for payment? 16. Are all applicable form sections of the CHP 78 Remarks: completed? Yes ☐ No □ N/A 17. Do emergency contracts document and justify a Remarks: ⊠ N/A ☐ No Yes sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? 18. Are all employees associated with the management Remarks: X Yes ☐ No □ N/A of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? 19. Are problems concerning the contractor's Remarks: performance fully documented in writing and made a □ No □ N/A part of the contract manager's contract file? 20. Are contract amendment request dollar amounts Remarks: ⊠ N/A □ Yes □ No increased more than 30%?

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

2	21. Is the length of the contract amendment request more than one year?	Yes	□ No	⊠ N/A	Remarks:
2	2. Are amendments requested before the expiration of the original contract?	☐ Yes	□ No	⊠ N/A	Remarks:
2	3. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks:
24	4. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25	5. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□No	⊠ N/A	Remarks:
(#)	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-slte) (4) Janitorial Services (5) Consulting Services 				±
26	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks: None of the named personnel are scheduled to be on site for 30 days or more.
	(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<u>©</u>			

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAMINSPECTION CHECKLIST

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	27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□No	⊠ N/A	Remarks:
	28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	⊠ N/A	Remarks:
245	29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
	30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
	31. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
	32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
	33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
ŗ.	34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
	35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
	36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	Yes	□ No	⊠ N/A	Remarks:
	37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
	8. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
3	9. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Coalinga Area	Central	3 - Contracts
Inspected by: R. Brunell, Serg	eant, ID 14612	Date: 12/10/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

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TYPE OF INSPECTION Division Level Command Executive Office Level	Level	☐ Corrective Action Plan Included☐ Appeal Included☐ Attachments Included	и			
Follow-up Required: ☑ Yes ☐ No	Forward to: Due Date:	Commander's Signature:	Date:			
Chapter Inspection Inspector's Comments Regarding Innovative Practices:						
None Identified.	rding innovative Practice	S:				

Command Suggestions for Statewide Improvement:

• The functions examined in these inspections are centralized and coordinated state wide by headquarters. The various roles and responsibilities involved in the procurement process are split between Area's and headquarters units. At times, there seems to be a lack of knowledge and understanding on how these processes actually work. For example, HPM 11.1 outlines policy governing service contracts. The applicable chapter of this manual covers contracts initiated by Area personnel, but there is little to no information concerning contracts which originate through the actions of headquarters personnel. In fact, the majority of service contracts currently in place at the Coalinga Area were initiated by Facilities Section personnel. In this example, it would be helpful for Area level users if policy was expanded to incorporate all types of service contracts, including statewide contracts.

	ins	pector's	Findings:	
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Coalinga Area's service contract files were reviewed and the following items and/or discrepancies were noted:

- Executed contract documents were not on file for the Area's photocopier and for shop clothing.
- There was no centralized computer file for all contracts administered. This practice is recommended by policy.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Inspector's Findings (continued):

- There was no spreadsheet prepared listing ALL expenditures. This practice is recommended by policy.
- When the current HVAC vendor, Johnson Controls Inc. bills for service other than quarterly maintenance, they use an incorrect labor rate of \$93.50. The STD. 215, Agreement Summary, calls for labor to be billed at a rate of \$92.00. Similarly, they bill for mileage for non-quarterly service. There is no allowance for mileage in the Agreement Summary (refer to Exhibit B, 4. Rate Schedule).
- HVAC invoice number 0811131210 was not listed on the activity log of expenditures.
- There was only one CHP 78, Contract Request, on file at the Area. This CHP 78 was recently initiated for range services and is currently being processed by Contract Services Unit (CSU). Otherwise, Area has not prepared any CHP 78's because all other Area specific contracts were initiated by personnel outside of the Coalinga Area, primarily Pete Cornejo, CHP Facility Analyst. The CHP 78's prepared outside of Area are sent to CSU for processing. Executed contracts are sent to Area without the CHP 78 attached.
- A folder labeled "General" was located which contained miscellaneous approved invoices for CAL-Card purchases or direct payments.
- Numerous non-contract files and folders were located within the service contracts files.
 These folders contained records for other types of procurements such as CAL-Card,
 Purchases, and direct billing.

Commander's	Respons	se:
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Concur with Inspector's findings.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

In a no a familia Communication			
Inspector's Comments:			
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None.

Required/Action Corrective Action Plan/Timeline

Sergeant Larkin Vander Mel will be responsible for organizing all Area files related to contracts. A centralized listing of all contracts will be created to enable quick reference to contract information including effective dates and remaining balances. Each contract file will contain a copy of the current contract, invoices, a log of expenditures, and documentation related to contract performance and correspondence with the vendor. This will be accomplished by March 1, 2009.

Sergeant Larkin Vander Mel address the billing issues with Johnson Controls Inc. This will be accomplished by December 19, 2008.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 4

Command: Division: Chapter: 3 - Contracts
Inspected by: Date:
R. Brunell, Sergeant, ID 14612 12/01/08

Acopeal Priocess (Appeals snall the filed within filed in Journal State Commander's Basis for Appeal: N/A Appeal Review/Decision: (This shall be the only level of appeal). Bad Inspector's Signature: Para David Signature: Date: 12/10/0 9 Date:	AnnealiPro	CRSS///Annealeach	alliberilled with	bin (live (5) lausinae	evdaye of the	evoempletede	hanterinspectio	
Appeal Review/Decision: (This shall be the only level of appeal). Appeal Review/Decision: (This shall be the only level of appeal). Date:				million en en blousines	s _k aays _k unti	alo all blatenic	udbreimisheerid	A CONTRACT THE STREET STREET
Appeal Review/Decision: (This shall be the only level of appeal). Appeal Review/Decision: (This shall be the only level of appeal).	Commande	ers basis for App	ear	· · · · · · · · · · · · · · · · · · ·		- Harris		
ead Inspector's Signature: Date: 12/10/08	N/A			3.0				
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ead Inspector's Signature: Date: 12/10/08	Appeal Rev	iew/Decision: (Ti	nis shall be th	e only level of appe	eal).			
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